

# ***1***

## **AN INTRODUCTION TO JOINT PROGRAM MANAGEMENT**

### **Purpose**

This Handbook is an introduction to joint program management for current and future joint program personnel. As a complement to the more general *Introduction to Defense Acquisition Management, 3d edition*, (DSMC Press, June 1996), this Handbook incorporates the perspectives of former joint program managers (PMs) gleaned from a Defense Systems Management College (DSMC)-sponsored interview program. This overview does not detail descriptions of how each component manages those joint programs for which it is the lead component. Joint programs are managed on a day-to-day basis in accordance with the lead components procedures. These details are left to the component. This Handbook provides additional guidance on policies and procedures that help assure a successful joint program.

### **General**

Department of Defense (DoD) Regulation 5000.2-R defines a joint program as:

*Any acquisition system, subsystem, component, or technology program that involves a strategy that includes funding by more than one DoD Component during any phase of a system's life cycle shall be defined as a joint program. Joint programs shall be consolidated and collocated at the location of the lead component's program office, to the maximum extent practicable. This*

*includes systems where one DoD Component may be acting as acquisition agent for another DoD Component by mutual agreement or where statute, DoD directive, or the USD(A&T) [Under Secretary of Defense (Acquisition and Technology)] or ASD(C<sup>3</sup>I) [Assistant Secretary of Defense (Command, Control, Communications, and Intelligence)] has designated a DoD organization to act as the lead (e.g., USSOCOM [U.S. Special Operations Command], BMDO [Ballistic Missile Defense Office], DARO [Defense Acquisition Reform Office]).*

As the definition says, joint program management may vary from a Joint Major Defense Acquisition Program (MDAP) to simply one military department serving as a procuring agent for others. Periodically, all programs are supposed to be reviewed for joint potential. If the program is designated as “joint” at any of these points in the life cycle, a joint PM can be appointed.

The Joint Requirements Oversight Council (JROC) for acquisition category (ACAT) I<sup>1</sup>, or Principal Staff Assistant (PSA) for ACAT IA programs reviews and validates component statements of mission needs and operational requirements documents (ORDs), as appropriate, and recommends establishment of joint programs based on their joint potential. The DoD component heads also recommend establishment of joint programs. The decision to establish a joint program will be made by the Milestone Decision Authority (MDA), who designates the lead component as early in the acquisition process as possible. The decision to establish a joint program is based on the recommendation of the JROC for programs that will be reviewed by the Defense Acquisition Board (DAB); the recommendation of the functional PSA and ASD(C<sup>3</sup>I) for programs that will be reviewed by the Major Automated Information System Re-

---

<sup>1</sup> Refer to the Acquisition Category (ACAT) paragraph in Chapter 1 for ACAT definitions.

view Council (MAISRC), or the recommendation of the DoD component head (or a designated representative) for all other programs.

Congressional interest in supporting joint requirements and in avoiding duplication among the components often results in statutory or report language requests for joint programs. Joint programs are established for some of the following reasons:

- Provide a new joint combat capability;
- Improve component interoperability and reduce duplication among the components;
- Reduce development and production costs;
- Meet similar multiservice requirements; and
- Reduce logistics requirements through standardization.

Joint program examples include Joint Tactical Unmanned Aerial Vehicles (JTUAV), Joint Stand-Off Weapons (JSOW), V22 Osprey, the Joint Surveillance Target Attack Radar System (JSTARS), and the Joint Tactical Information Distribution System (JTIDS).

The MDA is the individual designated in accordance with criteria initiated by the USD(A&T) to approve entry of an acquisition program into the next phase. An MDA such as USD(A&T), designates joint programs. Joint programs are generally formed by agreements between component MDAs, or by direction of USD(A&T) or Congress. Formal milestone reviews are conducted to encourage joint program consideration. Each component, the Joint Staff, and the defense agencies coordinate Mission Need Statements (MNSs) to assess the joint potential of their requirements. The sponsoring com-

<b>Joint Potential Designator (JPD)</b>	
<b>Independent</b>	No potential for other service use, systems interface, or joint development or procurement.
<b>Joint Interest</b>	Joint program management is inappropriate, but a potential for other use or systems interface exists.
<b>Joint</b>	A potential for joint program management, joint funding, or joint development or procurement exists.
Source: CJCS MOP 77	

**Figure 1-1. Definition of Joint Potential Designator**

mand assigns a Joint Potential Designator (JPD) in the MNS to indicate potential for joint management, funding, development, or procurement. Figure 1-1 presents these JPDs as defined in the Chairman of the Joint Chiefs of Staff Memorandum of Policy Number 77 (CJCS MOP 77). The JROC coordinates the JPD process for ACAT I programs, and the DoD components<sup>2</sup> perform the same function for ACAT II and III programs. The MDA approves joint program designation for ACAT I programs as early in the acquisition process as possible and appoints the lead DoD component.

All programs are torn between the requirements of the Executive Branch, Congress, and industry. Program managers often call this conflict the “tortured triangle.” The joint PM often faces a more complex version of the “tortured triangle,” because joint programs generally reflect more complicated joint requirements and are often larger in dollar value to serve the needs of multiple users. On the positive side, however, Congress and Office of the Secretary of Defense (OSD) usually look upon joint programs with greater favor.

<sup>2</sup> The Office of the Secretary of Defense; the Military Departments; the Chairman, Joint Chiefs of Staff and the Joint Staff; the Unified Commands; the Defense Agencies; and DoD Field Activities.

A successful joint PM must learn enough about the requirements and cultures of each supported component to place a capable and supportable weapon system in the hands of users. In Joint Pub 1, General Colin Powell, former CJCS, wrote, “Joint warfare is team warfare.” By analogy, the successful joint PM must build a joint team, whose members are skilled in their own types of warfare, and be able to supervise an effective joint organization. Some joint program staffs manage large ACAT I or ACAT IA programs. These program offices have more senior-level oversight. Other joint program offices generally operate within the lead service’s acquisition chain but face some unique life cycle challenges as will be described later in this Handbook.

Joint programs are managed through the lead DoD component’s acquisition chain. The formal definition of joint programs includes programs with broad joint applications and programs in which one component may act as an acquisition agent for another component. Therefore, the joint PM must assess the needs of the Unified Command<sup>3</sup> and component customers and establish a functional management structure to accommodate their concerns. This Handbook describes regulatory requirements of joint programs and provides management advice designed to supplement, but not replace, DoDD 5000.1 and DoD 5000.2-R.

*Views of Former Joint PMs:*

- *Jointness may be defined as a single system that satisfies the needs of more than one component.*
- *Never lose sight of who the [joint] customer is and what exactly is required to support the mission objective and requirements.*

---

<sup>3</sup> Central Command; European Command; Pacific Command; Atlantic Command; Southern Command; Special Operations Command; Strategic Command; Space Command; and Transportation Command.

- *Each military service [component] has different terminology or “language.” The joint PM is required to comprehend what the military service [component] “actually said” vs. what the military service [component] “actually meant to say.”*

### **Authority for Joint System Acquisition**

In general, standard procurement law (e.g., The Competition in Contracting Act) and regulations (e.g., the Federal Acquisition Regulation (FAR), the DoD FAR Supplement (DFARS), and the component supplements) apply to joint programs. The following should be emphasized for joint programs:

- **The Law:**
  - The DoD Reorganization Act of 1986 (Goldwater-Nichols) and another legislative report, *Defense Organization: The Need for Change*, which explains congressional reasoning for increasing jointness and the influence of the combatant commanders.
  - Section 2308, Title 10, U.S. Code, which describes terms and conditions for component withdrawal from joint programs.
- **Regulations:**
  - DoD Directive (DoDD) 5000.1, *Defense Acquisition*, March 1996, the broad policy directive.
  - DoD 5000.2-R, *Mandatory Procedures for Major Defense Acquisition Programs (MDAPs) and Major Automated Information System (MAIS) Acquisition Programs*, March 1996, which implements this policy.

- Defense Acquisition Deskbook 1996, an automated system with references, best practices, and suggested formats for some documents.
- CJCS MOP 77,<sup>4</sup> *Requirements Generation System Policies and Procedures*. Provides policy for requirements generation and the processing of MNS and ORDs.

### **Acquisition Categories (ACATs)**

- ACAT I programs are MDAPs. An MDAP is defined as a program estimated by the USD(A&T) to require eventual expenditure for research, development, test, and evaluation (RDT&E) of more than \$355 million (fiscal year (FY) 1996 constant dollars) or procurement of more than \$2.135 billion (FY 1996 constant dollars), or those designated by the USD(A&T) to be ACAT I (10 U.S.C. §24305).

ACAT I programs have three subcategories:

1. ACAT ID, for which the MDA is USD(A&T). The “D” refers to the DAB, which advises the USD(A&T) at major decision points.
2. ACAT IC, for which the MDA is the DoD component head or, if delegated, the DoD Component Acquisition Executive (CAE). The “C” refers to Component.

(The USD(A&T) designates programs as ACAT ID or ACAT IC.)

3. ACAT IA programs are MAIS. A MAIS acquisition program is estimated by the ASD(C<sup>3</sup>I) to require program costs for any single year in excess of \$30 million (FY 1996 constant dollars), total program costs in ex-

---

<sup>4</sup> CJCS MOP 77 is currently being revised. Estimated publication date is 1 Aug 96.

cess of \$120 million (FY 1996 constant dollars), or total life cycle costs in excess of \$360 million (FY 1996 constant dollars), or those designated by the ASD(C<sup>3</sup>I) to be ACAT IA.

ACAT IA programs have two subcategories:

1. ACAT IAM for which the MDA is the OSD Chief Information Officer (CIO). The “M” refers to MAISRC.
2. ACAT IAC, for which the MDA is the DoD component CIO. The “C” refers to Component.

The ASD(C<sup>3</sup>I) designates programs as ACAT IAM or ACAT IAC.

- ACAT II<sup>5</sup> programs are defined as those acquisition programs that do not meet the criteria for an ACAT I program, but do meet the criteria for a major system. A major system is defined as a program estimated by the DoD component head to require eventual expenditure for RDT&E of more than \$140M in FY 1996 constant dollars, or for procurement of more than \$645M in FY 1996 constant dollars), or those designated by the DoD component head to be ACAT II. The MDA is the DoD CAE.
- ACAT III programs are defined as those acquisition programs that do not meet the criteria for an ACAT I, an ACAT IA, or an ACAT II. The MDA is designated by the CAE and shall be at the lowest appropriate level. This category includes less-than MAISs.

---

<sup>5</sup> ACAT II does not apply to automated information system acquisition programs.



- The DoD component is responsible for notifying the USD(A&T) or ASD(C<sup>3</sup>I) when cost growth or a change in acquisition strategy results in reclassifying a formerly lower ACAT program as an ACAT I or IA program.

### **Interoperability**

One of the most important considerations for any acquisition program is meeting interoperability requirements. Interoperability capabilities are particularly crucial for Command, Control, Computers, Communications, Intelligence, Surveillance, and Reconnaissance (C<sup>4</sup>ISR) systems. Chairman, Joint Chiefs of Staff Instruction (CJCSI) 6212.01A covers the compatibility, interoperability, and integration of new or modifications to existing DoD systems that have C<sup>4</sup>ISR capabilities (including weapon systems, DoD National Foreign Intelligence Programs, and Tactical Intelligence and Related Activities). The policies and procedures in CJCSI 6212.01A also include automated information systems (AIS) not normally included in C<sup>4</sup>I definitions but which have missions requiring interface to the joint warfighter.

